

Before the  
FEDERAL COMMUNICATIONS COMMISSION  
Washington, D.C. 20554

In the Matter of )  
 )  
 )  
Structure and Practices of the Video Relay ) CG Docket No. 10-51  
Service Program )  
 )

**Update and Verification of Internet-Based TRS Certification  
Application**

**Sorenson Communications, LLC**

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## I. Introduction and Summary

Pursuant to 47 C.F.R. § 64.606(g), and in accordance with the Commission’s rules, the Commission’s Notice of Grant of Conditional Certification released on April 24, 2014,<sup>1</sup> and its orders released on July 28 and October 17, 2011, Sorenson Communications, LLC, f/k/a Sorenson Communications, Inc.<sup>2</sup> (“Sorenson”) submits this update and verification of its December 2, 2011 application for certification as a provider of Internet-based telecommunications relay service (“iTRS”).<sup>3</sup>

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<sup>1</sup> *Grant of Conditional Certification for Sorenson Commc’ns, Inc., as Reorganized Pursuant to Chapter 11, to Provide Internet-Based Telecommns. Relay Servs. Pending Comm’n Action on Sorenson’s Application for Certification*, Public Notice, 29 FCC Rcd. 4111 (2014) (“Conditional Certification Public Notice”).

<sup>2</sup> On November 18, 2016, Sorenson submitted a Notice of Change of Corporate Structure informing the Commission that as of September 29, 2016, Sorenson completed a change in corporate structure from a corporation to a Utah limited liability company.

<sup>3</sup> Sorenson’s updated application consists of this document; the exhibits submitted with the December 2011 application, the December 2012 update, the December 2013 update, the February 2014 update; the May 2014 update; the December 2014 update; the December 2015 update, and the exhibits submitted herewith. Sorenson hereby adopts and incorporates the exhibits accompanying the 2011 application, the 2012 update, the 2013 update, the February 2014 update, the May 2014 update, the December 2014 update, and the December 2015 update to the extent they are not replaced by the updated exhibits submitted today unless otherwise noted. Due to their sensitive nature, the majority of the exhibits have been redacted from the public version of the application.

In Sorenson’s December 2011 application and subsequent updates, it applied for certification as both a VRS and an IP CTS provider. The present update is split into two documents: one addressing VRS and one addressing IP CTS. In the IP CTS update, Sorenson continues to apply for certification as an IP CTS provider. However, the update also seeks certification for Sorenson’s affiliate, CaptionCall, LLC, to become an independent provider of IP CTS. Until the Commission grants CaptionCall an independent certification, Sorenson will continue to provide IP CTS services by subcontracting with CaptionCall. If the Commission grants CaptionCall its own independent certification, Sorenson expects that CaptionCall will begin to provide IP CTS independently and will submit its own requests for compensation directly to the Fund administrator. At that time, Sorenson itself expects to cease offering IP CTS, as CaptionCall would then provide IP CTS to eligible consumers.

Sorenson is the industry-leading provider of communications services and products designed to enable deaf and hard-of-hearing individuals to communicate with the hearing world. By offering consumers cutting-edge equipment and applications, and by staffing its network of 107 Video Relay Service (“VRS”) call centers with highly skilled communications assistants (“CAs”<sup>4</sup>), Sorenson has demonstrated its commitment to working closely with the deaf and hard-of-hearing community to ensure that communications services continue to meet their needs. Since 2003, Sorenson has provided its award-winning iTRS offerings, which have earned a reputation for quality, reliability, and efficiency. Indeed, Sorenson has established a proven record of meeting and exceeding the Commission’s minimum standards, and it continues to set the pace among iTRS providers with respect to robust internal compliance systems and efforts to combat fraud. By virtually any measure, Sorenson has proven itself to be the industry leader in terms of service quality, equipment innovations, efficiency, ease of use, fraud prevention, and consumer responsiveness.

Sorenson began providing VRS in 2003. Sorenson began providing IP Relay services in 2005 and IP CTS in 2011. Sorenson discontinued IP Relay service in 2013 and is no longer applying for certification as an IP Relay service provider. Sorenson’s affiliate, CaptionCall, currently supports Sorenson in its provision of IP CTS. As of November 17, 2016, Sorenson serves \*\*\***BEGIN CONFIDENTIAL**\*\*\* [REDACTED] \*\*\***END**

**CONFIDENTIAL**\*\*\*

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<sup>4</sup> For VRS, Sorenson’s “CAs” are known as Video Interpreters or “VIs”. Sorenson will utilize CA throughout this document, however, because that is the term referenced in the Commission’s rules.

## **II. Forms of iTRS to Be Provided (47 C.F.R. § 64.606(a)(2)(i))**

Pursuant to the Commission's July 28, 2011 Order and its April 24, 2014 Notice, Sorenson currently provides VRS, and its affiliate, CaptionCall, supports Sorenson in its provision of IP CTS, under a grant of interim eligibility.<sup>5</sup> Sorenson, which formerly operated under contract with the State of Utah's FCC-certified TRS program, timely filed its Certification Application on December 2, 2011, and updated that application on December 3, 2012, December 3, 2013, February 28, 2014, May 15, 2014, December 2, 2014, and December 2, 2015. This filing also serves as an update to the 2011 application.

## **III. Meeting Non-Waived Minimum Standards (47 C.F.R. § 64.606(a)(2)(ii))**

As explained in the chart that follows, Sorenson's services meet all of the non-waived minimum standards applicable to VRS.<sup>6</sup>

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<sup>5</sup> See *Structure and Practices of the Video Relay Service Program*, Second Report and Order, 26 FCC Rcd. 10,898, 10,922, ¶ 59 (2011) ("2011 Waiver Order") (granting interim eligibility for "any iTRS provider currently eligible to receive compensation directly from the TRS Fund via a means other than Commission certification," to expire "(1) 35 days after this application deadline, in the event no application is timely filed; (2) 35 days after Commission dismissal or denial of the application for certification in the event of Commission dismissal or denial; or (3) upon Commission grant of the application for certification in the event of Commission grant"); Conditional Certification Public Notice.

<sup>6</sup> With respect to some of the non-waived minimum standards, the Commission's requirements are ambiguous, and the Commission has not provided additional guidance as to their meaning. In those cases, Sorenson provides the following enumeration utilizing its understanding of the scope or substance of these requirements.

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>CA Training</b>  47 C.F.R. § 64.604(a)(1)(i)	--	Sorenson has developed a robust in-house training program in which its CAs are instructed in depth on meeting the needs of deaf and hard-of-hearing consumers, complying with the regulatory standards applicable to CAs, and the operational and technological aspects of Sorenson's services and equipment. Its CAs are trained for an average of <b>***BEGIN CONFIDENTIAL***</b> [REDACTED] [REDACTED] [REDACTED] <b>***END</b> <b>CONFIDENTIAL***</b>
<b>CA Skills</b>  47 C.F.R. § 64.604(a)(1)(ii)	--	As part of its robust training program, Sorenson ensures that its CAs handling VRS calls are sufficiently skilled in ASL; <sup>7</sup> that they are familiar with hearing and speech-disability cultures, languages and etiquette; and that they possess clear and articulate voice communications skills.
<b>VRS CA Qualifications</b>  47 C.F.R. § 64.604(a)(1)(iv)	--	Through its applicant screening and in-house training systems, Sorenson ensures that all of its VRS CAs are "qualified interpreters"—that is, that they are able to interpret effectively, accurately and impartially, both receptively and expressively, using any necessary specialized vocabulary.
<b>Ten Minute Rule</b>  47 C.F.R. § 64.604(a)(1)(v) <sup>8</sup>	--	Sorenson's procedures provide that CAs must stay with any given call for a minimum of ten minutes once the CA reaches the called party, unless (a) the VRS end user terminates the call earlier or requests another CA, or (b) either the VRS user or CA finds that they are not communicating effectively given the nature of the call.

<sup>7</sup> The minimum standards involving typing and spelling do not apply to VRS. *Telecommunications Relay Services and Speech-to-Speech Services for Individuals With Hearing and Speech Disabilities*, Report and Order and Further Notice of Proposed Rulemaking, 15 FCC Rcd. 5140, 5159 ¶ 42 (2000).

<sup>8</sup> See *Telecommunications Relay Services and Speech-to-Speech Services for Individuals with Hearing Speech Disabilities*, Order, 21 FCC Rcd. 6733, 6736 ¶ 9 (2006) ("If the party using sign language or the VRS CA find that they are not communicating effectively given the nature of the call, the VRS provider may have another CA handle the call without violating the 10-minute in-call replacement rule.").

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Gender Preference</b>  47 C.F.R. § 64.604(a)(1)(vi)	--	As part of its operating procedures, Sorenson makes its best efforts to accommodate its customers' requests regarding the gender of the CA handling their calls—both at call initiation and in the event of a transfer to another CA.
<b>Confidentiality Rule</b>  47 C.F.R. § 64.604(a)(2)(i)	--	Sorenson bars its CAs from disclosing the content of any relayed conversation, except as authorized by 47 U.S.C. § 605.
<b>Accuracy Rule</b>  47 C.F.R. § 64.604(a)(2)(ii)	--	Sorenson bars its CAs from intentionally altering the conversations they relay, except to the extent (i) the iTRS end user requests summarization or similar alterations, or (ii) necessary to provide information to emergency responders as allowed by rule.
<b>Sequential Calls</b>  47 C.F.R. § 64.604(a)(3)(i)	--	Sorenson bars its CAs from refusing single or sequential calls.
<b>Call Length</b>  47 C.F.R. § 64.604(a)(3)(i)	--	Sorenson does not limit the length of calls.
<b>Types of Calls</b>  47 C.F.R. § 64.604(a)(3)(ii)	Conditional exemption <sup>9</sup>	Sorenson's VRS is capable of handling any type of call normally provided by telecommunications carriers except as exempted by the Commission. Because Sorenson does not assess charges for long-distance calling, Sorenson is not required to and does not provide billing options such as sent-paid long distance and operator-assisted, collect, and third party billing. For the same reason, Sorenson does not and need not permit users to place calls using calling cards or credit cards.

<sup>9</sup> See *Telecommunications Relay Services & Speech-to-Speech Services for Individuals with Hearing & Speech Disabilities Waivers of ITRS Mandatory Minimum Standards*, Report and Order, Order, Declaratory Ruling, and Further Notice of Proposed Rulemaking, FCC 14-125 ¶¶ 11-15 (2014) ("2014 Waiver Order").



STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>One-Line VCO, Two-Line VCO</b>  47 C.F.R. § 64.604(a)(3)(v)(2)	Partial waiver <sup>10</sup>	Sorenson supports two-line VCO for all VRS users. Sorenson supports one-line VCO by providing at least one form of iTRS access technology that supports this functionality.
<b>One-Line HCO Two-Line HCO</b>  47 C.F.R. § 64.604(a)(3)(v)(3)	Partial waiver <sup>11</sup>	Sorenson supports two-line HCO for all VRS users. As required by the rules, Sorenson provides at least one form of iTRS access technology that supports one-line HCO.
<b>Speed Dialing</b>  47 C.F.R. § 64.604(a)(3)(vi)(2)	--	Sorenson makes speed-dialing functionality available to its VRS customers by providing one-touch dialing on the iTRS access technology that it provides to users.
<b>Three-Way Calling</b>  47 C.F.R. § 64.604(a)(3)(vi)(3)	--	Sorenson meets the three-way calling requirement by ensuring that its CAs handle a three-way call arranged by the hearing party just as they would handle any other call. <sup>12</sup> Over and beyond the requirement, Sorenson also permits deaf users to place three-way calls to multiple hearing parties.

<sup>10</sup> 2014 Waiver Order ¶¶ 34-35 (waiving requirement that VRS providers support one-line VCO and one-line HCO on VRS access technology distributed by another provider).

<sup>11</sup> *Id.*

<sup>12</sup> The Commission has stated that TRS providers satisfy the three-way calling requirement if they “ensure that the TRS facility or CA facilitates or handles a three-way call, as the CA would handle any TRS call, where and to the extent the three-way call has been arranged by any one of the parties to the call, *e.g.*, using a party’s LEC-provided custom calling service (CCS), by bridging two telephone lines via customer terminal equipment, or by some other means.” *See Telecommunications Relay Services and Speech-to-Speech Services for Individuals with Hearing and Speech Disabilities*, Order, 20 FCC Rcd. 3689, 3691 ¶ 8 (2005). The Commission has further clarified “that TRS providers are not required to be able to arrange, initiate, or set up a three-way call (but they may do so) . . . so long as the provider is able to handle or facilitate a three-way call, in some manner, whether initiated by one of the parties to the call or set up by the provider.” *Id.*

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Recorded Messages and Interactive Menus</b>  47 C.F.R. § 64.604(a)(3)(vii)	--	Sorenson's CAs alert a VRS user to the presence of a recorded message and interactive menu <sup>13</sup> and process such calls just as they would process any other call. Sorenson does not impose charges for calls to recorded messages.
<b>Answering Machine Retrieval</b>  47 C.F.R. § 64.604(a)(3)(viii)		Sorenson permits users to place VRS calls to retrieve voice messages left in their voice mailbox and permits CAs to interpret messages left on a user's voice answering machine.
<b>Privacy Screen</b>  47 C.F.R. § 64.604(a)(6)	--	Sorenson's call management system does not allow CAs to use privacy screens. Sorenson's VRS CAs are required to disconnect a VRS call if either the calling or called party employs a privacy screen or similar feature for more than five minutes or is otherwise unresponsive for more than five minutes, except in the case of a 911 call or in circumstances where the calling or called party has legitimately been placed on hold. Sorenson's VRS CAs disconnect calls in these circumstances only after announcing the upcoming disconnection.

<sup>13</sup> The requirement that the CA use a "hot key" to "send text from the CA to the consumer's TTY" plainly does not apply to VRS, which does not use TTYs or send text. *See* 47 C.F.R. § 64.604(a)(3)(vii). Similarly, the requirement that TRS providers "electronically capture" recorded messages so that they can type the whole message without requiring the user to hang up and call back multiple times also plainly does not apply to VRS. Sorenson CAs relay recorded messages in real time without requiring users to hang up and call back and therefore do not need to record electronic messages. *See Telecommunications Relay Services and Speech-to-Speech Services for Individuals With Hearing and Speech Disabilities*, Report and Order and Further Notice of Proposed Rulemaking, 15 FCC Rcd. 5140, 5179 ¶ 92 (2000) (noting that the recording requirement was imposed because without it, users were "unable to make calls that encounter interactive menus or other recorded messages or must frequently place a succession of calls to leave a message with, or access the information provided by, such systems").

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>International Calls</b>  47 C.F.R. § 64.604(a)(7)	--	Sorenson does not seek compensation for VRS calls that originate from an international IP address, with the exception of calls made by a U.S. resident who has pre-registered with Sorenson prior to leaving the country, as required under the FCC's rules.
<b>Speed of Answer for VRS</b>  47 C.F.R. § 64.604(b)(2)(iii)	--	As reflected in its monthly data submissions to the Fund administrator, Sorenson's VRS complies with the current speed-of-answer requirement that 80% of all calls are answered within 120 seconds measured on a monthly basis. <sup>14</sup>
<b>Equal Access to IXC's</b>  47 C.F.R. § 64.604(b)(3)	Conditional exemption <sup>15</sup>	Sorenson does not charge for long distance service and is therefore exempt from this requirement.
<b>24/7 Operations</b>  47 C.F.R. § 64.604(b)(4)(i)	--	Sorenson VRS is available 24 hours per day, 7 days per week.  Sorenson's equipment has the technical capacity to handle up to <b>***BEGIN CONFIDENTIAL***</b> <b>CONFIDENTIAL***</b> Sorenson also has the ability to scale these capacities upwards to meet growing demand.
<b>Redundancy</b>  47 C.F.R. § 64.604(b)(4)(ii)	--	Sorenson's operations include multiple redundancy features and safeguards, including emergency generators to ensure uninterruptable power for emergency use.
<b>At-Home Interpreting</b>  47 C.F.R. § 64.604(b)(4)(iii)	--	Sorenson does not permit or enable its VRS CAs to relay calls from their homes (or from any location other than a Sorenson call center).

<sup>14</sup> *Sorenson Communications, Inc. v. FCC*, 765 F.3d 37, 52 (D.C. Cir. 2014).

<sup>15</sup> 2014 Waiver Order ¶ 15.

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Caller ID</b>  47 C.F.R. § 64.604(b)(6)	--	On all VRS calls that originate with a Sorenson VRS customer, Sorenson passes through the number of the iTRS facility, 711, or the calling party's number—except where the calling party has requested to block caller ID.
<b>Complaint Logs and Procedures</b>  47 C.F.R. § 64.604(c)(1), (6)	--	Sorenson maintains logs of all complaints it receives that allege violations of the federal TRS mandatory minimum standards. The logs include the date the complaint was filed, the nature of the complaint, the date of resolution, and the nature of resolution. Sorenson annually submits to the FCC a summary of its complaint logs. Sorenson's complaint procedures are detailed in § XI below.
<b>Complaint Contact Point</b>  47 C.F.R. § 64.604(c)(2)	--	Sorenson's contact person for iTRS consumer information and complaints is: Michael D. Maddix Director of Government and Regulatory Affairs 4192 South Riverboat Road Salt Lake City, UT 84123 Voice: (801) 287-9461 Fax: (801) 287-9401 Email: <a href="mailto:mmaddix@sorenson.com">mmaddix@sorenson.com</a>
<b>Publicity re iTRS</b>  47 C.F.R. § 64.604(c)(3)	--	Although the FCC has initiated a pilot program to perform TRS outreach and no longer allows VRS providers to include the cost of outreach in their yearly cost submissions, Sorenson publicizes the availability of iTRS through print promotional materials, web-based promotional materials, sponsorship arrangements, and other means. Sorenson does not include the cost of these activities in its yearly cost submissions.
<b>Rates</b>  47 C.F.R. § 64.604(c)(4)	--	Sorenson does not charge its customers anything for its VRS.
<b>Cost Information and Other Data Submissions</b>  47 C.F.R. § 64.604(c)(5)	--	Sorenson maintains and submits required cost data and other data to the FCC and to the Fund administrator.

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Whistleblower Notice</b>  47 C.F.R. § 64.604(c)(5)(iii)(M)	--	Sorenson has provided a complete description of the iTRS whistleblower protections to all of its employees. Sorenson includes instructions for reporting noncompliance as part of its TRS Compliance Manual and TRS Compliance Training, which is on the home page of the company HR Intranet site. This includes the URL and phone number for the FCC's whistleblower hotline.
<b>VRS Service Name</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(1)(ii)	--	Sorenson's primary VRS services (known as "SVRS") and its Spanish-language sub-brand (known as "RAPIDO.SVRS.TV") clearly identify Sorenson as the provider of the service.
<b>URL Routing</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(1)(ii)	--	All of Sorenson's VRS signaling traffic is routed through IP addresses to which Sorenson's URL (svrs.tv) resolves.
<b>Contracting</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(1)(iii)	--	Sorenson does not contract with or otherwise authorize any third party to provide interpretation services or call center functions for VRS.
<b>Written Contracts</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(1)(v)	--	To the extent Sorenson subcontracts with a third party to provide services or functions related to VRS, it is Sorenson's policy to execute these contracts in writing. <sup>16</sup> Copies of all such contracts are available to the Commission and the iTRS Fund administrator upon request.
<b>Call Center Reports</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(2)	--	Sorenson files the required call center reports with the FCC and the Fund administrator.
<b>CA Compensation</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(3)	--	Sorenson does not compensate, provide preferential work schedules, or otherwise benefit its VRS CAs based on the number of VRS minutes or calls that the CA handles, either individually or as a group.

<sup>16</sup> See *Structure and Practices of the Video Relay Service Program*, Report and Order and Further Notice of Proposed Rulemaking, 26 FCC Rcd. 5545, 5574 ¶¶ 58-60 (2011).

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Remote Training Calls</b>  47 C.F.R. § 64.604(c)(5)(iii)(N)(4)	--	Sorenson acknowledges that it is not entitled to compensation for VRS calls to remote training sessions or comparable activities when it (or its affiliates or related parties) has been involved in any manner with the session or activity. Sorenson removes any such minutes from its data submissions before submitting them to the TRS Fund administrator when seeking compensation.
<b>TRS Customer Information</b>  47 C.F.R. § 64.604(c)(7)	--	Sorenson does not use its subscribers' profile data for any purpose other than those allowed by the rules. <sup>17</sup> Neither Sorenson nor its employees sell, distribute, share, or reveal the profile data unless compelled by law to do so or unless permitted by the Commission's rules.
<b>VRS Non-Discrimination</b>  47 C.F.R. § 64.604(c)(12)	--	To the best of its knowledge, Sorenson does not engage in any practices that qualify as "unjust or unreasonable discrimination" with regard to its provision of VRS service.
<b>Emergency Call Handling</b>  47 C.F.R. § 64.605	--	Sorenson provides emergency calling service in full compliance with the FCC's rules. In the case of VRS, it provides E911 service to its customers; handles and routes emergency calls to the applicable PSAP; immediately attempts to reestablish contact in the event of disconnection; automatically places 911 calls at the front of call queues; and obtains Registered Location information from its customers. Sorenson also delivers the following to the PSAP: Sorenson's role as iTRS provider, the ANI, the caller's Registered Location, and the CA's identification number.

<sup>17</sup> See *Telecommunications Relay Services and Speech-to-Speech Services for Individuals with Hearing and Speech Disabilities*, Report and Order and Further Notice of Proposed Rulemaking, 15 FCC Rcd. 5140, 5173-76 ¶¶ 77-84 (2000) (defining "profile data" and limitations on its use).

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Default Provider Registration</b>  47 C.F.R. § 64.611(a)-(c)	--	Sorenson provides VRS users with the capability to register with Sorenson as their default provider. Sorenson routes and delivers all such users' inbound and outbound calls unless the user chooses to place a call with, or receives a call from, an alternate provider (dial-around). Sorenson updates the TRS Numbering Directory for users that select Sorenson as their default provider as required under the FCC's rules.
<b>Ten-Digit Numbering</b>  47 C.F.R. § 64.611(a)(1), (d)	--	<p>For each user that registers with Sorenson as his or her default provider, Sorenson either (a) facilitates the user's valid porting request from another provider, or (b) assigns the user a geographically appropriate ten-digit number (or, when such numbers are not available in the user's rate center, a geographically approximate ten-digit number). Sorenson does not assign or issue proxy numbers to TRS users.</p> <p>For access to ten-digit numbers to assign to its subscribers, Sorenson contracts with ***<b>BEGIN CONFIDENTIAL</b>*** [REDACTED] [REDACTED] ***<b>END CONFIDENTIAL</b>***</p>
<b>Toll-Free Numbering</b>  47 C.F.R. § 64.611(e)(1)	--	Sorenson no longer assigns toll-free numbers to its VRS users, and either terminated former numbers or transitioned ownership to the registered user who maintains the number with a toll-free service provider.
<b>CPE</b>  47 C.F.R. § 64.611(f)	--	The CPE that Sorenson provides to VRS users delivers routing information only to the user's default provider, except to the extent necessary to complete dial-around calls.

STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>User Notification re Ten-Digit Numbering and Toll-Free Numbering</b>  47 C.F.R. § 64.611(g)	--	<p>Sorenson's website and promotional materials related to numbering or E911 service include an advisory addressing (a) the process for obtaining a ten-digit number, (b) number portability, and (c) the process for updating Registered Location information.</p> <p>Sorenson has also prepared and posted an advisory explaining the process by which an iTRS user can acquire a toll-free number; transfer control of a toll-free number to the user; and/or request that a toll-free number be linked to the user's ten-digit number in the TRS Numbering Directory.</p>
<b>Speech-to-Speech Service</b>	Waived <sup>18</sup>	--
<b>Interoperability</b>  47 C.F.R. § 64.621	--	<p>Sorenson's users are able to place and receive calls through any of the VRS providers' services, and Sorenson can receive calls from, and make calls to, any VRS user, to the extent it is technically possible. Sorenson does not take steps that restrict a user's unfettered access to another provider's service. Sorenson plans for its VRS access technologies and video communication service platforms to be interoperable with the VRS Access Technology Reference Platform and the Neutral Video Communication Service Platform, including for point-to-point calls, once those platforms are fully developed.</p>

<sup>18</sup> 2011 Waiver Order ¶ 20 (VRS).



STANDARD	WAIVED	SORENSEN'S COMPLIANCE
<b>Verification and Processing of Orders for Change of Default TRS Providers</b>  47 C.F.R. § 64.631, 64.632		<p>It is Sorenson's policy not to initiate or implement default-provider changes unless and until it has obtained the iTRS user's written or electronically signed authorization in a form that meets the requirements of 47 C.F.R. § 64.632.</p> <p>If a user wishes to change his or her default provider for separate iTRS services, it is Sorenson's policy to obtain separate authorizations for each service as required by 47 C.F.R. § 64.631(b).</p> <p>It is Sorenson's policy to implement an iTRS user's default-provider change order within 60 days of obtaining the signed letter of agency.</p> <p>It is Sorenson's policy to follow the requirements of 47 C.F.R. § 64.631(f) in the event that it acquires, through a sale or transfer, either part or all of another iTRS provider's iTRS user base without obtaining each user's individual consent.</p>
<b>Maintenance of Service After Porting Request</b>  47 C.F.R. § 64.631(e)	--	<p>When a Sorenson user has submitted a request to change the user's default provider, Sorenson does not reduce the level or quality of service provided to that user or reduce the functionality of any VRS access technology provided by Sorenson to the user until the transition is complete.</p>
<b>Impermissible Use of CPNI</b>  47 C.F.R. §§ 64.5105, 5107, 5108, 5109, 5110	--	<p>Sorenson has adopted a detailed policy governing the use of CPNI in order to ensure compliance with the Commission's CPNI rules. As required by 47 C.F.R. § 5109(e), Sorenson is attaching its annual CPNI compliance certification, which includes a statement explaining how Sorenson's operating procedures ensure that it is in compliance with the CPNI rules.</p>

#### IV. VRS Call Center Leases

##### A. Leases for U.S. Call Centers (47 C.F.R. § 64.606(a)(2)(ii)(A)(2))

As required by 47 C.F.R. § 64.606(a)(2)(ii)(A)(2), copies of the leases for a representative sampling of Sorenson's U.S. VRS call centers were attached as Exhibits 2-6 to Sorenson's December 2, 2011 Certification Application. The sample includes the Sorenson call

centers located in Sacramento, CA; Tucson, AZ; Kansas City, KS; Tampa, FL; and Portland, ME. Sorenson filed updated leases for these call centers with its December 2013 application update. Sorenson filed further updated leases for its call centers located in Tampa, FL and Sacramento, CA with its December 2015 application update. Sorenson hereby incorporates these leases by reference and certifies that, other than the lease for Kansas City, KS, these leases have not changed since Sorenson's December 2015 application update. Sorenson submits as Exhibit 5 to this updated application a further amended lease for its call center in Kansas City, KS.

B. Leases for Call Centers Outside of the United States (47 C.F.R. § 64.606(a)(2)(ii)(A)(3))

As required by 47 C.F.R. § 64.606(a)(2)(ii)(A)(3), copies of the leases for all of Sorenson's VRS call centers located outside of the United States were attached as Exhibits 7-14 to Sorenson's December 2, 2011 Certification Application. Sorenson's non-U.S. call centers at that time were located in the following cities (all in Canada): Victoria, BC; Vancouver, BC; Calgary, AB; Edmonton, AB; Winnipeg, MB; Ottawa, ON; Toronto, ON; and Halifax, NS. Sorenson filed updated leases for its call centers in Vancouver, Winnipeg, Ottawa, and Halifax in its December 2013 application update, and submitted updated leases for its call centers in Toronto, Victoria, and Winnipeg, as Exhibits 5-7 to the December 2014 updated application. In addition, in 2014 Sorenson opened a new VRS call center, also in Canada, in Langley, BC, and submitted a copy of this lease as Exhibit 8 to the December 2014 updated application. Sorenson filed a further amended lease for its call center in Calgary, AB as Exhibit 7 to its December 2015 updated application. Sorenson hereby incorporates the leases filed with its December 2011 application, December 2013 updated application, December 2014 updated application, and December 2015 updated application by reference. In addition, Sorenson attaches as Exhibits 6

and 7 to this updated application amended leases for its call centers in Edmonton, AB, and Vancouver, BC.

C. List of Call Center Leases (47 C.F.R. § 64.606(a)(2)(ii)(A)(2))

As required by 47 C.F.R. § 64.606(a)(2)(ii)(A)(2), a list of all of Sorenson's VRS call centers including the information required by 47 C.F.R. § 64.604(c)(5)(iii)(N)(2) is attached as Exhibit 1.

**V. Description of Technology and Equipment Used to Support VRS Call Center Functions (47 C.F.R. § 64.606(a)(2)(ii)(A)(4))**

A. Description of Technology and Equipment (47 C.F.R. § 64.606(a)(2)(ii)(A)(4))

Sorenson's VRS call center functions utilize the following technology and equipment:

- CAs' Desktop Computers and Monitors. A desktop computer and a monitor are installed at every CA's work station to allow the CA to manage and service VRS calls.
- CAs' Desktop Televisions. A television is installed at every CA's work station and connected to the CA's videophone to allow the CA to see the VRS user on the call.
- CAs' Videophones. A Sorenson videophone is installed at every CA's work station to allow the CA to communicate with the VRS user over a video link.
- CAs' Telephone Handsets. A telephone handset is installed at every CA's work station to allow the CA to speak with the hearing party.
- Custom Call Management Client. Sorenson employs a call management software system that the company developed in-house to manage call flow and routing. It is installed on every CA's desktop computer.
- Automatic Call Distribution ("ACD") Servers. Sorenson's ACD servers manage inbound call queues and route VRS calls within and among Sorenson's VRS call centers. (In the documentation attached to Sorenson's December 2, 2011 Certification Application at Exhibit 16, these servers are referred to as "session border controllers.")

- Billing Servers. Sorenson's billing servers house the billing databases that store all VRS call data, including time stamps and the identity of the CA and call center that handled the call.
- Storage Area Networks ("SAN"). Sorenson's SAN is highly redundant storage hardware housed in collocation facilities used to warehouse billing, registration, and call data.
- Uninterruptible Power Supply ("UPS"). Sorenson's UPS utilizes battery resources that are engaged to keep production infrastructure online in the event of a power outage or surge.
- Switches. These are network components used to connect servers to each other, to disk resources, and to network resources.
- Routers. These are network components used to manage transmission control protocol / Internet protocol ("TCP/IP") traffic, including internal data traffic and traffic bound to or from the Internet.
- Firewall. Sorenson's firewall is a combined hardware and software network component that prevents unauthorized network access to Sorenson infrastructure.
- Load Balancer. Sorenson's load balancer assesses servers' current load levels and directs incoming and outgoing network communications to the server with the lowest current load, thereby ensuring the fastest response time.
- Call Managers. Sorenson's call managers are pieces of telephony equipment that allow the CA to manage inbound and outbound telephone conversations with the hearing party.

B. Technology and Equipment in U.S. VRS Call Centers (47 C.F.R. § 64.606(a)(2)(ii)(A)(6))

Section 64.606(a)(2)(ii)(A)(6) of the Commission's rules requires providers operating more than five VRS call centers within the United States to provide a copy of each proof of purchase, lease, or license agreement for technology and equipment used to support call center functions in a representative sampling of five call centers within the United States. Section

64.606(a)(2)(ii)(A)(4) of the Commission's rules requires providers to include a statement indicating whether such technology and equipment is owned, leased, or licensed.

The call center sample Sorenson has selected mirrors the sample it selected for purposes of providing call center leases, as reflected in Section IV.A above. The technology and equipment documentation for these call centers was attached to Sorenson's December 2, 2011 Certification Application at Exhibit 16, and was supplemented and revised in the February 2014 updated application and Exhibit 4 thereto, in Exhibit 9 of the December 2014 updated application, and in Exhibit 8 to the December 2015 updated application. Sorenson hereby incorporates those Exhibits (subject to the aforementioned revision) by reference. In addition, Sorenson submits as Exhibit 8 to this updated application further updates to its technology and equipment documentation.<sup>19</sup>

C. Technology and Equipment in Non-U.S. VRS Call Centers (47 C.F.R. § 64.606(a)(2)(ii)(A)(7))

Section 64.606(a)(2)(ii)(A)(7) of the Commission's rules requires providers to submit a copy of each proof of purchase, lease, or license agreement for technology and equipment used to support call center functions in each VRS call center located outside of the United States. Section 64.606(a)(2)(ii)(A)(4) of the Commission's rules requires providers to include a statement indicating whether such technology and equipment is owned, leased, or licensed.

As noted above in Section IV.B above, all of Sorenson's non-U.S. VRS call centers are located in Canada. The technology and equipment documentation for these call centers is included in Exhibit 16 to the December 2011 Certification Application, as explained in Section

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<sup>19</sup> \*\*\* BEGIN CONFIDENTIAL \*\*\*

\*\*\* END CONFIDENTIAL \*\*\*

V.B above. Sorenson supplemented this Exhibit 16 with Exhibit 4 to the February 2014 updated application, Exhibit 9 to the December 2014 updated application, and Exhibit 8 to the December 2015 updated application. In addition, Sorenson submits as Exhibit 8 to this updated application further updates to its technology and equipment documentation.<sup>20</sup> With the exception of software licenses (included in the records contained in 2011's Exhibit 16), Sorenson owns all of the technology and equipment used to support its call center functions.

D. ACD Lease or License Agreement (47 C.F.R. § 64.606(a)(2)(ii)(A)(8))

Sorenson has developed its own custom-built ACD system. Accordingly, there is no ACD lease or license agreement to submit.

**VI. Entities with Ownership / Control Interests (47 C.F.R. § 64.606(a)(2)(ii)(B))**

Section 64.606(a)(2)(ii)(B) of the Commission's rules requires applicants to list all "individuals or entities that hold at least a 10 percent equity interest in the applicant, have the power to vote 10 percent or more of the securities of the applicant, or exercise de jure or de facto control over the applicant." There are two such entities in Sorenson's case:

1. Certain funds managed or sub-managed by GSO Capital Partners LP ("GSO")

\*\*\*BEGIN CONFIDENTIAL\*\*\*

\*\*\*END CONFIDENTIAL\*\*\*

<sup>20</sup> \*\*\* BEGIN CONFIDENTIAL \*\*\*

\*\*\* END CONFIDENTIAL \*\*\*

2. Certain investment funds for which Franklin Mutual Advisers LLC

(“Franklin”) acts as an investment advisor \*\*\*BEGIN CONFIDENTIAL\*\*\*

\*\*\*END CONFIDENTIAL\*\*\*

The funds managed or sub-advised by GSO and such funds for which Franklin acts as investment advisor hold equity interests in Sorenson’s ultimate parent, Sorenson Holdings, LLC, which was formed upon the conversion of Sorenson Holdings, Inc. to a limited liability company upon the effective date of the plan of reorganization of Sorenson and its affiliates and holds a 100% indirect interest in Sorenson.

**VII. Description of Organizational Structure (47 C.F.R. § 64.606(a)(2)(ii)(B))**

Section 64.606(a)(2)(ii)(B) of the Commission’s rules requires applicants to describe their organizational structure. A copy of a diagram presenting Sorenson’s organizational structure was originally attached as Exhibit 17 to Sorenson’s December 2, 2011 Certification Application. Sorenson includes as Exhibit 2 to this Update a revised ownership structure diagram. As shown in Exhibit 2, Sorenson’s affiliate, CaptionCall, is a subsidiary of Sorenson Holdings, LLC, rather than of Sorenson. Sorenson will remain the certified IP CTS provider, with support from CaptionCall, until the Commission acts on CaptionCall’s separate application.

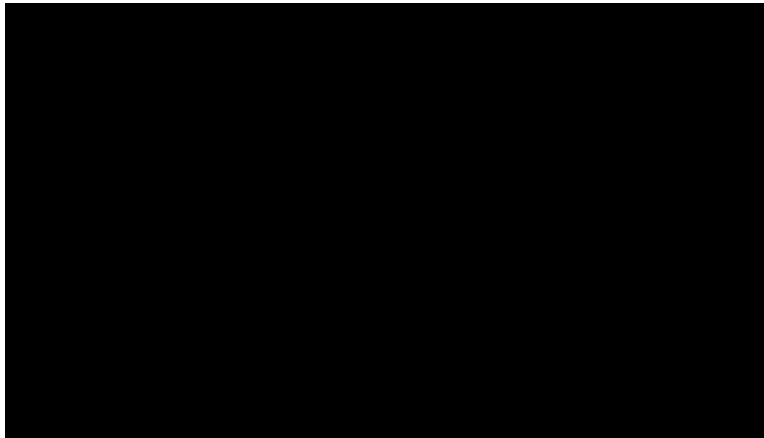
**VIII. Names of Executives, Officers, Members of Board (47 C.F.R. § 64.606(a)(2)(ii)(B))**

Section 64.606(a)(2)(ii)(B) of the Commission’s rules requires applicants to provide “the names of its executives, officers, members of its board of directors, general partners (in the case of a partnership), and managing members (in the case of a limited liability company).” Sorenson does not have any general partners or managing members. The names of its executives, officers, and board members are included on the list attached as Exhibit 3 to this Update.

**IX. Number of TRS Employees (47 C.F.R. § 64.606(a)(2)(ii)(C))**

Section 64.606(a)(2)(ii)(C) of the Commission's rules requires applicants to provide "a list of the number of applicant's full-time and part-time employees involved in TRS operations, including and divided by the following positions: executives and officers; video phone installers, communications assistants, and persons involved in marketing and sponsorship activities." The requested information for Sorenson's VRS operations follows (as of November 18, 2016):

**\*\*\*BEGIN CONFIDENTIAL\*\*\***



**\*\*\*END CONFIDENTIAL\*\*\***

**X. List of Sponsorship Agreements (47 C.F.R. § 64.606(a)(2)(ii)(E))**

Section 64.606(a)(2)(ii)(E) of the Commission's rules requires applicants to provide "a list of all sponsorship arrangements relating to Internet-based TRS, including on that list a description of any associated written agreements." A copy of Sorenson's list of sponsorship

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<sup>21</sup> As shown in Exhibit 3, three executives have responsibilities for both Sorenson's VRS and CaptionCall's IP CTS.

<sup>22</sup> **\*\*\*BEGIN CONFIDENTIAL\*\*\*** [REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**\*\*\*END CONFIDENTIAL\*\*\***



agreements between November 16, 2015 and November 18, 2016 is attached as Exhibit 4. For each sponsorship agreement on the list, there is a written document, ranging from a one-page email for simple sponsorships to documents a few pages long for more extensive sponsorships, specifying the amount of the contribution and the terms under which the contribution will be made.

**XI. Description of Complaint Procedures (47 C.F.R. § 64.606(a)(2)(iii))**

Sorenson directs users and employees to report complaints through the email address [vrscomments@sorenson.com](mailto:vrscomments@sorenson.com). Sorenson applies the following process to complaints it receives related to its services.

**\*\*\*BEGIN CONFIDENTIAL\*\*\***

- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]
  - [REDACTED]
  - [REDACTED]

■ [REDACTED]

■ [REDACTED]  
[REDACTED]  
[REDACTED]

\*\*\*END CONFIDENTIAL\*\*\*

**XII. Statement Regarding Annual Compliance Reports (47 C.F.R. § 64.606(a)(2)(iv))**

Pursuant to 47 C.F.R. § 64.606(a)(2)(iv), Sorenson states that it will file annual compliance reports demonstrating continued compliance with the Commission's rules governing Telecommunications Relay Service.

**XIII. Certification**

I declare under penalty of perjury that I am Grant Beckmann, an officer of the above-named applicant, and that I have examined the foregoing submissions, and that all information required under the Commission's rules and orders has been provided and all statements of fact, as well as all documentation contained in this submission, are true, accurate, and complete.

A handwritten signature in dark ink, appearing to read 'G. Beckmann', is written over a solid horizontal line.

Grant Beckmann  
Chief Technology Officer, Security, Compliance  
Sorenson Communications, LLC

**Date:** December 2, 2016

**List of Exhibits**

Exhibit 1	Call Center List
Exhibit 2	Organizational Structure
Exhibit 3	Directors and Officers List
Exhibit 4	Sponsorship List
Exhibit 5	Kansas City, KS Updated Lease
Exhibit 6	Edmonton, AB Updated Lease
Exhibit 7	Vancouver, BC Updated Lease
Exhibit 8	Updated Call Center Technology

**Subject t**

**Pursuant to 47 C.F.R. §§ 0.457, 0.459**

## **Addendum 1**

# **Sorenson Regulatory Compliance Plan**

## **Sorenson Regulatory Compliance Plan**

As a provider of Telecommunications Relay Services (“TRS”), Sorenson Communications, LLC (“Sorenson or Company”) is committed to full and complete compliance with the rules and regulations of the Federal Communications Commission (“FCC”). This Regulatory Compliance Plan (“Plan”) describes Sorenson’s policies, procedures, and practices for complying with the Communications Act (47 U.S.C. § 151 *et seq.*), TRS Rules (47 C.F.R. § 64.601 *et seq.*), and the FCC’s *Report and Order and Further Notice of Proposed Rulemaking*, dated June 10, 2013 (¶ 134) (together, “FCC Rules”).

### **Compliance Office and Staff**

Sorenson’s compliance program is led by a Compliance Officer and a Compliance Manager (together, the “Compliance Office”). The Compliance Officer chairs Sorenson’s Compliance Committee and is the senior officer responsible for implementing and overseeing Sorenson’s compliance with FCC Rules and this Plan. Sorenson’s Compliance Manager is a full-time, dedicated compliance employee who reports to the Compliance Officer and meets every other month with the Compliance Committee. The Compliance Manager has direct responsibility for the development, production, and maintenance of compliance tools, reports, plans, tasks and activities for the management of the Plan. The Compliance Office:

- Develops and maintains compliance policies, procedures, training materials, and compliance records;
- Performs compliance analysis and leads the development, production, and maintenance of reporting methods to detect and address compliance-related issues;
- Works with department executives to ensure knowledge of and compliance with FCC Rules and the development of compliant Company policies and procedures;
- Prepares regular reports on compliance with Company policies and FCC Rules;
- Investigates and reports compliance-related concerns to Sorenson management; and
- Monitors any corrective or preventive actions related to compliance.

The Compliance Office has the authority to monitor ongoing Company activities as they relate to FCC Rules, and has unlimited access to all Company files, records, and information needed to fulfill its responsibilities. This includes the right to interview Company employees in connection with potential instances of non-compliance. The Compliance Office has access to sufficient internal and external resources, including in-house and outside counsel, to execute its compliance duties.

Sorenson’s Compliance Committee is composed of department executives from across the Company, including Engineering, Information Systems, Operations, Sales and Outreach, Marketing, Finance, and in-house counsel. The Committee meets every other month to review any FCC-related issues, including regulatory changes and any compliance related policies or procedures. At each meeting, the Committee: (1) reviews the status of customer registration, certification, and verification for TRS services; (2) receives updates from department executives on the status of compliance with terms of FCC Rules; (3) reviews any outstanding items from the previous Committee meeting; and (4) makes assignments on compliance action items for the

next meeting. Sorenson's Compliance Manager documents and maintains records of the Committee meetings.

### **Compliance Manual**

Sorenson's Compliance Office, with the assistance of counsel, has developed and adopted a TRS Compliance Manual ("Compliance Manual"). The Compliance Manual is distributed to all Sorenson personnel who perform, supervise, oversee, or manage any activities that relate to Sorenson's responsibilities FCC Rules ("Covered Personnel"). An electronic copy of the Compliance Manual is posted on Sorenson's internal intranet site in the compliance section. All Sorenson employees have access to the Compliance Manual on the intranet site. The Compliance Office has responsibility for revising and updating the Compliance Manual, in consultation with in-house and outside counsel, to maintain compliance with all FCC Rules.

### **Compliance Training**

Working with the necessary Company departments, Sorenson's Compliance Office has developed and implemented training on Sorenson's Compliance Manual and department-specific policies and procedures for compliance with FCC Rules. The Compliance Manager reviews and approves all training materials, tracks all completed and outstanding training, and coordinates training updates to address any changes to FCC Rules or Sorenson's policies and procedures.

#### *Officer Training:*

Sorenson's senior executives and officers have been trained on the Compliance Manual and the department-specific policies and procedures for compliance with FCC Rules. At the Compliance Committee meetings, members of the Committee receive updated training from the Compliance Manager on any new FCC Rules and any new Sorenson policies or procedures.

#### *Annual Employee Training:*

Prior to conducting the annual employee training, the Compliance Office requires each department's executive FCC Rules applicable to their department. Each department then customizes the Compliance Office's baseline compliance training presentation to emphasize the department-specific policies and procedures that apply to their staff. The Compliance Office reviews and approves all customized department training materials before training is provided. The training is conducted online through the Company's learning management system. Upon completion of the training, employees sign an electronic acknowledgment indicating receipt of the Compliance Manual and completion of compliance training. The acknowledgements are tracked and maintained centrally by the Compliance Office.

#### *New Hire Training:*

All new employees receive compliance training within 30 days of their start date. For every hiring period, Sorenson's Human Resources Manager provides the Compliance Manager a list of new employees. The list includes each new employee's start date, the employee's department,

and the employee's supervisor. The Compliance Manager maintains that information in order to track the completion of new-hire compliance training, which is conducted by the employee's department. All compliance training materials are reviewed, approved, and maintained by the Compliance Manager.

*Contractor Training:*

The Compliance Office trains any contractor who performs, supervises, oversees, or manages any activities that relate to Sorenson's responsibilities under, and in compliance with, FCC Rules. The training covers Sorenson's Compliance Manual as well as the specific Sorenson policies and procedures that are applicable to the contractor's compliance with FCC Rules.

*Training Updates:*

The Compliance Manager coordinates training of employees when a rule change impacts Sorenson's TRS services. The Compliance Office identifies the affected departments and works with the departments to modify existing policies and procedures or create new ones if necessary to address the rule change. The Compliance Office reviews and approves all new policies and procedures. The Compliance Office ensures that the departments impacted by the new policy or procedure train their staff accordingly. The Compliance Office reviews the training materials.

**Compliance Reporting Mechanisms**

Sorenson has several mechanisms for employees to report non-compliance with FCC Rules, including any fraud, waste, or abuse. Each of these is described in the Compliance Manual, and explained to employees as part of their annual compliance training.

To report any compliance concern, employees may contact their supervisor or the executive officer of their department who are then instructed to contact the Compliance Office. Alternatively, employees may contact a "Compliance Hotline" anonymously through a toll-free number. Employees may also email the Compliance Office directly via a dedicated email address. The Compliance Manager monitors the Compliance Hotline and the compliance email inbox. The Compliance Manager is responsible for responding to concerns, including elevating them to the Compliance Officer and/or the Compliance Committee as appropriate.

The Compliance Manual informs employees that they have the right to report compliance concerns to the FCC's Office of Inspector General, and provides the website address and hotline phone number to make such reports.

Sorenson does not tolerate retaliatory conduct. Employees are informed in the Compliance Manual and in their training that Sorenson will never take action against employees for reasonably reporting information related to potential compliance violations.



### **Monitoring and Auditing Compliance with FCC Rules**

Sorenson's Compliance Office regularly monitors and audits Company departments regarding compliance with FCC Rules and will make any necessary changes to the Compliance Plan in response to these evaluations. The following describes Sorenson's (1) monthly review and audit of minutes for submission to the TRS Fund Administrator; (2) review of compliance with customer registration, certification, and verification requirements; and (3) review process for departmental compliance.

#### **(1) Monthly Review of Minutes:**

Each month, Sorenson conducts a multi-department review of the detailed call records prior to submission to the TRS Fund Administrator. As part of this monthly review process, members of Sorenson's Quality Assurance staff and database administration team review and analyze the FCC's and TRS Fund Administrations guidelines used to prepare the report of compensable minutes. The engineering team then meets with the executives of the Finance, Engineering, Information Technology (IT), and Sales and Outreach departments, as well as the Compliance Office to review the draft submission. The IT and Engineering departments maintain detailed operating procedures that document the monthly submission preparation and review process.

#### **(2) Compliance with Customer Registration, Certification, Verification Requirements:**

The Compliance Manager works with the Sales and Outreach department to obtain reports on the customer registration, certification, and verification for all TRS services. Each month, the Compliance Manager prepares a "Registration, Certification, and Verification Process Review Report" for the Compliance Committee. The Report identifies the total installed accounts and the percentage of those accounts that have completed registration, self-certification, verification, and other relevant metrics. The Compliance Manager works with the Sales and Outreach department to ensure (1) compliance with the TRS registration, certification, and verification requirements for each TRS service, and (2) that only properly registered, certified, and verified customers' minutes are billed to the TRS Administrator.

#### **(3) Compliance Office Audits:**

The Compliance Office is responsible for conducting compliance reviews in order to help minimize risk to the organization and strengthen internal controls. The internal audit process: (1) identifies risks within each department that relate to compliance with FCC Rules; (2) ensures that each department has department-specific procedures in place to comply with relevant FCC Rules; (3) regularly reviews each department to ensure that procedures and processes are being followed; (4) provides feedback and remedial action items following the reviews; and (5) monitors and enforces completion of action items.

The Compliance Manager conducts periodic reviews of all departments with responsibility for providing TRS services, including: Sales and Outreach, Marketing, Information Systems, Operations, Finance, and Human Resources.

### **Compliance Policies, Procedures, and Practices**

Sorenson is committed to 100 percent compliance with all FCC Rules. To effectuate this commitment, Sorenson has developed and implemented its Compliance Manual as well as a comprehensive and robust set of policies and procedures to prevent fraud, waste, and abuse of the TRS Fund.

The Compliance Manual describes Sorenson's commitment to compliance and its expectation that all employees will do their part. It describes permitted and prohibited activities in the following areas: working with customers; providing TRS services; determining qualifying calls; providing equivalent and innovative services; and reporting and record keeping.

Sorenson's policies and operating procedures detail the specific requirements that each department must follow to comply with FCC Rules. All policies are maintained on Sorenson's internal intranet site, and employees have access to the policies and procedures applicable to their department. All policies implemented to ensure compliance with FCC Rules were reviewed and approved by the Compliance Office, in-house and outside counsel. The TRS policies cover a variety of topics with detailed operating procedures implementing the policies. The following are examples of these topics: Customer Data Access and Use, Whistleblower, CPNI, User Registration, Verification and Certification, No Direct and Indirect Inducements.

The Compliance Office, in coordination with in-house and outside counsel, monitors developments in FCC Rules and evaluates whether those developments require a modification to Sorenson's policies and procedures. If a change is required, the Compliance Office identifies the affected departments and works with them to modify or create a policy or procedure to address the rule change. The Compliance Office reviews and approves all new policies and procedures, and works with in-house and outside counsel as needed to ensure that the new policy or procedure appropriately addresses FCC Rules.

### **Enforcement of Compliance Plan**

If Sorenson determines that one or more of its employees have engaged in conduct that violates FCC Rules, the Compliance Office – in consultation with in-house and outside counsel – will take appropriate disciplinary measures up to and including suspension, termination, and referral to the appropriate governmental authorities.

If Sorenson determines that minutes have been billed improperly to the TRS Fund, it will advise the TRS Administrator at the earliest opportunity through the submission of a revised or corrected billing submission.

**Subject t**

**Pursuant to 47 C.F.R. §§ 0.457, 0.459**

## **Addendum 2**

# **Sorenson CPNI Certification and Statement of Operating Procedures**

**Annual 47 C.F.R. § 64.5109 CPNI Certification**

Sorenson Communications, LLC

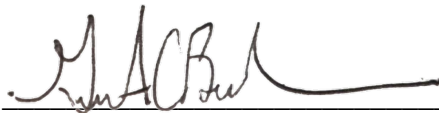
2016 CPNI Compliance Certificate and Statement

I, Grant Beckmann, certify that I am an officer of Sorenson Communications, LLC and I have personal knowledge that, effective October 30, 2014, the company has established a CPNI policy that is adequate to ensure compliance with the Commission's iTRS CPNI rules (*see* 47 C.F.R. § 64.5105 *et seq.*).

Attached to this certification is an accompanying statement explaining how the company's policy ensures compliance with the requirements of section 64.5105 *et seq.* of the Commission's rules. Neither Sorenson, nor its affiliate CaptionCall, has taken any actions against data brokers in the past year. Nor has Sorenson or CaptionCall received any customer complaints during the period covered by this certification.

The company represents and warrants that the certification is consistent with 47 C.F.R. § 1.17, which requires truthful and accurate statements to the Commission. The company also acknowledges that false statements and misrepresentations to the Commission are punishable under Title 18 of the U.S. Code and may subject it to enforcement action.

Executed on December 2, 2016.



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Grant Beckmann

Chief Technology Officer, Security, Compliance Sorenson Communications, LLC

**Sorenson Communications, LLC**  
**2016 CPNI Compliance Statement of Operating Procedures**

**General Duty, Training, and Discipline**

Sorenson Communications, LLC (the “Company” or “Sorenson”) has adopted and made available to all relevant employees a Customer Proprietary Network Information Standard (“CPNI Policy”) that addresses proper handling and use of CPNI and advises all employees of their duty to safeguard CPNI.<sup>1</sup> Employees are advised that violations of the CPNI Policy will subject an employee to disciplinary action, up to and including immediate termination of employment. The Company makes CPNI available to employees only on a need-to-know basis.

**Use of CPNI Without Customer Approval (47 C.F.R. § 64.5105)**

Absent express consent from the customer, it is Sorenson’s policy to use CPNI only for certain specific purposes which are permitted by the FCC’s CPNI rules. These purposes include:

- Win-back marketing campaigns for former customers, which are limited to the same category of service to which the customer formerly subscribed (*i.e.*, IP CTS or VRS);
- Marketing extended services like speed dialing, call waiting, caller ID, and call forwarding, voice or video mail, voice or video storage and retrieval services (together known as adjunct-to-basic services);
- Providing customer training, education, and entertainment tied to the service to which the customer has selected Sorenson as its default provider;
- Providing, upgrading, or adding Customer Premises Equipment (“CPE”) or iTRS access technology.

In addition, Sorenson may use CPNI without customer consent to maintain and monitor the quality of services to customers, including as follows:

- Providing inside wiring installation, maintenance, and repair services;
- Monitoring call processing, speed of answer, routing and failure rates;
- Tracking call quality, including video quality, audio quality, bandwidth, packet loss, and other technical call characteristics.

It is also Sorenson’s policy to use, disclose, or permit access to CPNI to the extent necessary for emergency-call handling, including as follows:

- Accepting and handling 911/E911 calls;
- Accessing, either directly or through a third party, a commercially available database that will allow Sorenson to determine an appropriate Public Safety Answering Point (“PSAP”) designated statewide default answering point;
- Relaying 911/E911 calls to the appropriate local emergency authority that corresponds to the caller’s location;

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<sup>1</sup> This Policy also applies to Sorenson’s affiliate, CaptionCall, LLC.

- Facilitating the dispatch and response of emergency service or law enforcement personnel to the caller's location, in the event that the 911/E911 call is disconnected or the caller becomes incapacitated.

Sorenson does not identify or track CPNI of customers that call competing TRS providers and does not use, disclose, or permit access to CPNI related to a customer call to a competing TRS provider. With all calls, Sorenson does use CPNI in order to track call quality but in doing so does not track whether a call was made to a competing provider.

Sorenson and its affiliate CaptionCall have both adopted policies not to share CPNI with each other for the purposes of marketing.

**Customer Approval for Use of CPNI (47 C.F.R. § 64.5107)**

To access, use, or disclose CPNI for any purpose other than one of the pre-approved no-consent uses of CPNI, it is the Company's policy to obtain the customer's affirmative, express consent to allow the requested CPNI usage, disclosure, or access. Before soliciting such consent, it is the Company's policy to notify the customer that he or she may deny or restrict use of, disclosure of, and access to that CPNI. Sorenson maintains records of this notification during the time period that the approval is in effect and for at least one year thereafter. The notification informs the customer:

- That the customer has a right to deny the Companies the right to use, disclose or permit access to the customer's CPNI, and the Companies have a duty, under federal law, to honor the customer's right and to protect the confidentiality of CPNI;
- Of the types of information that constitute CPNI and who will use, receive, or have access to the CPNI;
- Of the purposes for which CPNI will be used;
- Of his or her right to deny or withdraw consent to use, disclose, or permit access to access to CPNI at any time;
- Of the precise steps the customer must take in order to grant or deny use, disclosure, or access to CPNI, and that customer denial of approval will not affect the TRS provider's provision of any services to the customer; and
- That any approval or denial of approval for the use of CPNI outside of the service for which the Company is the default provider for the customer is valid until the customer affirmatively revokes or limits such approval or denial.

If any portion of a notification is translated into any other language (including American Sign Language), then Sorenson's policy requires that all portions of the notification must be translated into that language.

**Notice to Customers for Use of CPNI (47 C.F.R. § 64.5108)**

Prior to any solicitation for customer approval to use, disclose, or permit access to CPNI, Sorenson notifies its customers individually of their right to deny or restrict the use or disclosure

of, or access to, that customer's CPNI. Sorenson maintains records of a customer's response for a minimum of one year after the consent is no longer in effect.

Sorenson's policy states that the customer notification must inform the customers of what type of information constitutes CPNI; who would use, receive, or have access to CPNI and how the CPNI will be used; their right to deny Sorenson the right to use, disclose, or permit access to its customers' CPNI at any time; and the steps a customer must take in order to grant or deny permission to use, disclose, or access CPNI. Sorenson informs its customers that their decision regarding CPNI will not affect their Sorenson service.

**Safeguards for Use of CPNI (47 C.F.R. § 64.5109)**

Sorenson's CPNI policy limits CPNI access to those employees who have a need to know. Unauthorized employees are prohibited from attempting to obtain access to CPNI.

For the use of CPNI for any purpose that requires customer consent, Sorenson's policy requires the specific authorization of the Compliance Officer. In addition, sales personnel must obtain supervisory approval of any proposed outbound marketing request for customer approval to use CPNI. Before accessing, using, or disclosing CPNI for any purpose that requires customer consent, Sorenson's policy requires employees to obtain the customer's affirmative, express consent.

Sorenson maintains a record, for a period of at least three years (beginning from the date on which the regulation became effective), of (1) any sales and marketing campaigns that use its customer's CPNI, and (2) where CPNI was disclosed or provided to a third party, or a third party was permitted access to CPNI.

**Safeguards on the Disclosure of CPNI (47 C.F.R. § 64.5110)**

Sorenson protects against attempts to gain unauthorized access to CPNI and authenticates a customer prior to disclosing CPNI. For telephone, TRS, and point-to-point access to CPNI, customers are authenticated without the use of readily available biographical information, or account information, prior to allowing the customer telephonic, TRS, or point-to-point access to CPNI related to his or her TRS account. Alternatively, a customer may obtain telephonic, TRS, or point-to-point access to CPNI related to his or her accounts through a password. To establish a customer's identity without reference to readily available biographical information or account information, Sorenson may call the customer at the telephone number of record, have the customer present a government issued ID over the video phone, or have the customer recite a randomly generated PIN that the Company sends via text to the customer's number of record.

Customers may also access their CPNI online and establish a password for future access only after being authenticated without using readily available biographical information or account information. After initial authentication, customers may only access CPNI online only by providing their pre-established password. Customers that have lost or forgotten their passwords may retrieve their passwords by their previously provided answer to a secret question, which will not involve the use of readily available biographical information or account information. If a

customer cannot provide the correct password or the correct response to the shared secret question, the customer must be re-authenticated and must establish a new password.

It is Sorenson's policy to notify customers whenever a password, answer to shared secret question, online account, or address of record is created or changed. (The policy does not, however, require such a notification when the customer initiates service, including the selection of a password at service initiation.) This notification may be through voicemail, text message, or video mail to the existing telephone number of record, by mail to the existing physical address of record, or by e-mail to the existing e-mail address of record, and shall not reveal the changed information or be sent to the new account information.

**Notification of CPNI Network Information Security Breaches (47 C.F.R. § 64.5111)**

The Company requires that any possible unauthorized disclosure of CPNI must immediately be reported to the Company's Compliance Officer. Upon notification, the Compliance Officer conducts an inquiry to determine whether a breach of CPNI has taken place. If the Compliance Officer determines there has been a breach, he or she shall notify law enforcement, the FCC's Disability Rights Office, and customers of any breach as provided by 47 C.F.R. § 64.5111. The Compliance Officer maintains records of any breaches discovered, notifications made to law enforcement, and notifications made to customers. These records include, where available, dates of discovery and notification, a detailed description of the CPNI that was the subject of the breach, and the circumstances of the breach. These records are retained for two years.



**Exhibits 1-2, 4-8 REDACTED**

## **Exhibit 3**

**REDACTED—FOR PUBLIC INSPECTION**

Sorenson Communications, LLC, and CaptionCall LLC  
 Executive and Board Member List (as of November 18, 2016)

<b>NAME</b>	<b>COMPANY</b>	<b>TITLE</b>
<b>Officers:</b>		
Scott Sorensen	Sorenson Communications	Chief Executive Officer
Reed Steiner	Sorenson Communications	Chief Financial Officer
Scott Wood	Sorenson Communications	General Counsel
Paul Kershnik	Sorenson Communications	Chief Marketing Officer
Grant Beckmann	Sorenson Communications	Chief Technology Officer
Ron Burdett	Sorenson Communications	VP Community Relations
Chris Wakeland	Sorenson Communications	VP of Interpreting
David Pickett	Sorenson Communications	VP of Marketing
Dave Johnson	Sorenson Communications	VP of Sales
Julie Zenas	Sorenson Communications	VP of VRS Operations
Brian Janzen	Sorenson Communications	Controller
Scott Sorensen	CaptionCall	Chief Executive Officer
Reed Steiner	CaptionCall	Chief Financial Officer
Scott Wood	CaptionCall	General Counsel
Cameron Tingey	CaptionCall	VP of Sales
Jason Dunn	CaptionCall	VP CaptionCall Centers
Scot Brooksby	CaptionCall	VP of Engineering and IT
Mike Holm	CaptionCall	VP of Engineering and IT
Bruce Peterson	CaptionCall	VP of Marketing
Mel Walker	CaptionCall	VP of Product Management
David George	CaptionCall	Controller
<b>Board Members</b>	<b>Affiliation</b>	
Scott Sorensen	Sorenson Communications	
Darren Richman	GSO	
James Continenza	GSO	Chairman
Scott Eisenberg	GSO	
Keith Luh	Franklin Mutual Advisors	